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Statistical estimations for *Plasmodium vivax* malaria in South KoreaYoungsaeng Lee¹, Hyeongap Jang², Jeong Ae Rhee³, Jeong-Soo Park^{1*}¹Department of Statistics, Chonnam National University, Gwangju, 500-757 Korea²JW LEE Center for Global Medicine, College of Medicine, Seoul National University, Seoul, 110-744 Korea³Department of Preventive Medicine, Chonnam National University, Gwangju, 501-757 Korea

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ABSTRACT

Objective: To calculate the numbers of weekly infections and prevalence of malaria, and to predict future trend of malaria incidences in South Korea. **Methods:** Weekly incidences of malaria for 13 years from the period 2001-2013 in South Korea were analyzed. The back-calculation equations were used with incubation period distributions. The maximum likelihood estimation for Poisson model was also used. The confidence intervals of the estimates were obtained by a bootstrap method. A regression model for time series of malaria incidences over 13 years was fitted by the non-linear least squares method, and used to predict future trend. **Results:** The estimated infection curve is narrower and more concentrated in the summer than in the incidence distribution. Infection started around the 19th week and was over around the 41st week. The maximum weekly infection 110 was obtained at the 29th week. The prevalence at the first week was around 496 persons, the minimum number was 366 at 22nd week, and the maximum prevalence was 648 at 34th week. Prevalence drops in late spring with people that falling ill and had had long incubation periods and rose in the summer with new infections. Our future forecast based on the regression model was that an increase at year 2014 compared to 2013 may reach a peak (at maximum about 70 weekly cases) at year 2015, with a decreasing trend after then. **Conclusions:** This work shows that back-calculation methods could work well in estimating the infection rates and the prevalence of malaria. The obtained results can be useful in establishing an efficient preventive program for malaria infection. The method presented here can be used in other countries where incidence data and incubation period are available.

1. Introduction

About 3 billion people in the world are at risk of malaria infection and 350-500 million people become newly infected each year. Malaria kills more than one million people each year. Most are children. Malaria is still one of the important diseases of the 21st century[1]. Moreover, global climatic change will allow malaria to spread into northern latitudes, including Europe and large parts of the United States[2]. It is caused by a protozoan parasite in the

phylum, *Apicomplexa*, and in the genus, *Plasmodium*. There are four species that are in the genus: *Plasmodium falciparum*, *Plasmodium vivax* (*P. vivax*), *Plasmodium ovale* (*P. ovale*), and *Plasmodium malariae*. Two species of these, *P. vivax* and *P. ovale*, tend to have a hypnozoites stage and long incubation period[3].

P. vivax in South Korea was highly endemic until 1910 and decreased gradually after applications of modern medicine. It was thought to be eradicated after 1984. But malaria reemerged in the demilitarized zone region, the border between North and South Korea, after 1993 because of the shortage of malaria eradication programs in North Korea[4]. Around 2 000 people are infected annually in South Korea[5].

Information on the infection time is needed for public prevention programs and other societal related projects such as the blood supply for transfusions. However, it is hard to know the exact

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infection time in an endemic country by an epidemiologic survey. A malarial patient cannot know when he got infected. The infection time of a malarial patient in a non-endemic country can be estimated approximately by investigating residence time in an endemic area, but it is also not exact. For this reason, incidence time data is more commonly used.

Many countries having endemic for malaria epidemics have seasonality for malaria incidences because of the calendar related climates. For example, the malaria incidence in South Korea occurs only around summer in temperate countries because winter is not suitable to the survival of the vector mosquito. We assume that if some diseases with a seasonal fluctuation have a long incubation period, their infection curve would be different from their incidence curve. Malaria in South Korea satisfies those two requirements. *P. vivax*, the only species in Korea, has a long incubation period and clear seasonality reflecting the population dynamics and other entomological characteristics of the vector, *Anopheles sinensis*, which hibernates during the winter season[4]. More exact information on the infection period can be used for public prevention programs and other social work projects such as blood transfusion.

The back-calculation method, a major technique described in this paper, has been used for calculating annual HIV infections from the annual incidence, their incubation distribution and other information[6–8]. The method has also been used for estimating the number of dependent heroin users in Australia[9] and for estimating long-term trends in the incidence and prevalence of opiate use/injecting drug use in England for 1968–2000[10]. It was used in estimating the number of SARS cases imported by international air travel[11], and in estimating age specific cancer incidence rates[12]. In this study, we estimated weekly infection rate and prevalence of malaria in South Korea using incidence data and incubation period distributions by a back-calculation formula and maximum likelihood estimation using Poisson modeling. The confidence intervals of the estimates are obtained by a bootstrap method. A regression model for time series of malaria incidences over 13 years is fitted, and is used to predict future trend.

2. Materials and methods

2.1. Data

As a notifiable disease, all medical facilities in South Korea should report their malaria cases to public health centers and then to the Korean Centers for Disease Control and Prevention (KCDCP). Because the KCDCP service tracked daily incidence days after mid 2000, we used their reporting data from 2001 to 2013 for our incidence data[13]. Figure 1 shows the time series of reported cases for 13 years. We used only domestic malaria infection and excluded all overseas infection. A total of 17 280 cases were reported entirely for 13 years. As we counted all cases on a weekly interval, the first week included 8 days since there was no incidence on January 1st.

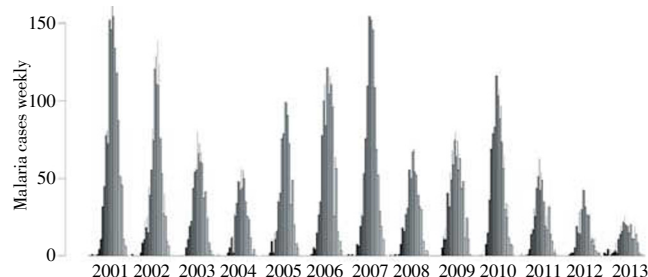


Figure 1. Reported cases of malaria per week in Korea between 2001 and 2013.

Note the characteristic cyclicity and slightly decreasing tendency.

The out-break data for each year was smoothed to eliminate weekend and holiday effects. We used Friedman's Super Smoother ("supsmu" function in R program[14]).

2.2. Incubation period

Different incubation periods by region have been reported[15,16]. *P. vivax* from temperate countries, tends to have a longer incubation time than from tropical countries although it is also known that some tropical malaria have long incubation periods[17].

The incubation period of *P. vivax* in South Korea has been investigated by Nishiura *et al*[18]. They selected 225 persons who visited an endemic area from a non-endemic area in South Korea, stayed less than a week, and did not visit more than 2 times. They concluded that the incubation period of *P. vivax* in South Korea, consisted of short and long incubation periods. A total of 142 cases (63.1%) out of 225 with short incubation periods were fitted with a gamma distribution, $\Gamma(1.2, 22.2)$, and 83 cases (36.9%) with long incubation periods were fitted with a normal distribution, $N(337.4, 40.6^2)$.

P. vivax infection, with a long incubation period, resulted from the hypnozoites stage. In the hypnozoites stage, the sporozoites is discharged from the salivary glands of the hibernating mosquito in the hepatic cell without multiplication[19].

2.3. Back-calculation and Poisson modelling

Assuming that the out-break observations follow a Poisson distribution, we can estimate the number of infections using the back-calculation formula and the maximum likelihood method. Details are given in followings.

From the back-calculation method[6,7,10], we have for $y=2001, \dots, 2012$ and for $w=1, \dots, 52$,

$$A_w^y = \sum_{k=0}^{103} f_{104-k} G_{w+k} + \varepsilon \quad (1)$$

where f_w is the incubation probability computed for each week w , G_w is the infection numbers for the week w , A_w^y is a random variable representing the malaria cases at y year and w week, and the random variable ε is the error term. The range of k (from 0 to 103) is set to cover two years. Thus, we actually assume that A_w^y follows a Poisson distribution with a mean function.

$$\lambda_w = \sum_{k=0}^{103} f_{104-k} G_{w+k} \quad (2)$$

Since we already know A_w^y and f_w , the unknown quantities G_{w+k} are treated as regression coefficients and are subject to being estimated. Here, we assume that $G_w = G_{w+52} = G_{w+104}$ for $w = 1, \dots, 52$. f_w is computed by adding the corresponding daily incubation probabilities for seven days.

The log-likelihood function of G_w for given data \hat{A}_w^y is proportional to

$$\sum_{y=2001}^{2012} \sum_{w=1}^{52} [\hat{A}_w^y \log \lambda_w - \lambda_w] \quad (3)$$

where \hat{A}_w^y is the super-smoothed value from the observed malaria cases at y year and w week, and λ_w is the mean function of Equation (2). Since no explicit maximizers of Equation (3) exist, a numerical optimization routine is needed to estimate G_w for $w = 1, \dots, 52$. We used quasi-Newton algorithm ("optim" function) in R program[14] to minimize the negative value of Equation (3).

2.4. Estimating prevalence of malaria and confidence intervals

We compute malaria prevalence using the convolution equation with estimated infection rates and the survival function. To calculate the confidence intervals of weekly number of infections and the prevalence, we used a bootstrap approach.

2.4.1. Estimating prevalence of malaria

We compute malaria prevalence using the following convolution equation with estimated infection rates and the survival function:

$$P_w = \sum_{t=w}^{52} G_t S_{104-(t-w)} + \sum_{t=1}^{52} G_t S_{52+(w-t)} + \sum_{t=1}^{w-1} G_t S_{w-t} \quad (4)$$

for $w = 1, \dots, 52$, where P_w is the prevalence at week w , G_t is the estimated numbers of infection at week t which were computed at the above subsection, and S_t is the survival function at week t . Note that the survival function is

$$S_t = I - F_U(t) = 1 - \sum_{w=1}^t f_w \quad (5)$$

where $F_U(t)$ is the cumulative distribution function of the incubation period U and f_w is the incubation probability computed for each week w . Here S_t means the probability that an infected man is in the incubation period at week t .

2.4.2. Confidence intervals

To calculate the confidence intervals of the weekly number of infections (G_w), we used a bootstrap approach[20]. For this purpose, we treated a time series of each year as an observation, so that consisted of 13 observations. We constructed a bootstrap sample

from these 13 time series by sampling with replacement. From this bootstrap sample, we estimated G_w by minimizing Equation (3), and denoted it $\hat{G}_w^{(1)}$. This procedure was repeated B times to construct $\hat{G}_w^{(1)}, \dots, \hat{G}_w^{(B)}$ for every w . Then, the $100 \times (1 - \alpha)\%$ confidence interval of the G_w for a week w is obtained as[21].

$$(G_{(B \frac{\alpha}{2})}, G_{(B(1-\frac{\alpha}{2}))}) \quad (6)$$

where $G_{(B \frac{\alpha}{2})}$ is the $(B \times \frac{\alpha}{2})$ -th ascending order statistic among the B bootstrap estimates of G_w at a fixed week w . This confidence interval construction for a fixed week w is gone through for every week w , for $w = 1, 2, \dots, 52$. Here we used $B = 300$ and $\alpha = 0.05$ for actual computation. Note that the confidence intervals for G_w is computed conditionally on the assumed incubation period distribution.

The 95% confidence intervals for the prevalence were also calculated by using the bootstrap estimates for G_w which were obtained at the above computation, i.e., $\hat{G}_w^{(1)}, \dots, \hat{G}_w^{(B)}$ for every w . Using $\{\hat{G}_w^{(b)}\}$, we can calculate the B series of prevalence by (4). Then, the $100 \times (1 - \alpha)\%$ confidence interval of the prevalence at a week w is obtained as;

$$(P_{(B \frac{\alpha}{2})}, P_{(B(1-\frac{\alpha}{2}))}) \quad (7)$$

where $P_{(B \frac{\alpha}{2})}$ is the $(B \times \frac{\alpha}{2})$ -th ascending order statistic among the B bootstrap estimates of the prevalence at a fixed week w . This confidence interval construction for a fixed week w is gone through for every week w , for $w = 1, 2, \dots, 52$. Here, we again used $B = 300$ and $\alpha = 0.05$ for actual computation. Note again that the confidence intervals for P_w are computed conditionally on the assumed incubation period distribution and so the survival function.

2.5. Regression modelling for malaria time series

Forecasting future incidences of an infectious disease is a major concern for the public health care policy. For fitting the time series data of malaria by a regression model, we first considered the SIR model which has been used for infectious diseases[20]. Upon our failure of fitting the SIR model to the time series, we introduced more parameters (regression coefficients) and built a complex regression model. Using the model, we tried to predict the future trend of malaria incidences in South Korea. Statistical details are as follows:

For fitting the time series data of malaria by a regression model, we first considered the susceptible-Infective-Recovered (SIR) model which has been used for infectious diseases[22]. The SIR model is derived from the differential equation that describes the epidemiology of the infectious disease. One of the modified SIR model for fitting an asymmetric cyclical oscillations is the following model with three parameters, I_∞ , k and ζ ;

$$y_t = I_{\infty} [1 + \exp\{k \cos(\zeta t)\}] \quad (8)$$

Here, I_{∞} is the equilibrium value, k and ζ are related to the maximum magnitude and period of the cyclical oscillations, respectively. The time t ranges from the first week to the last week of the 13 years (i.e., from 1 to 13×52).

Upon our failure of fitting the above SIR model to the weekly time series, we introduced more parameters (regression coefficients) and built the following model.

$$y_t(\beta) = \exp\{\beta_0 + \beta_1 \cos(\frac{2\pi}{52} t) + \beta_2 \cos(\frac{2\pi}{52} t) + \beta_3 \cos(\frac{2\pi}{52} t) + \beta_4 y_{t-1}\} \quad (9)$$

This model is built by modifying a model for tourist arrival data in Kedem and Fokianos[21]. The regression coefficients (β_0, \dots, β_4) are estimated by the non-linear least squares method. That is, the coefficients are calculated by minimizing $\sum_t (y_t - y_t(\beta))^2$ with respect to β , where y_t is the observations and $y_t(\beta)$ is the Equation (9). The estimates we obtained are $\beta_0 = -1.07$, $\beta_1 = 0.308$, $\beta_2 = 256.12$, $\beta_3 = -3.189$ and $\beta_4 = 0.917$. Figure 5 shows the time series plot of observed (circles) versus fitted weekly number (solid line) of incidences from

the model (9), and forecasts for the years from 2014 to 2018.

3. Results

3.1. Estimated numbers of weekly infections

Figure 2 shows the estimated weekly infections (a solid line) and 95% confidence intervals (dotted lines). It is more concentrated in the summer than in weekly incidence. Significant infection starts around the 19th week and is over around the 41st week. The maximum value 110 is obtained at the 29th week. The curve of the infection distribution is a bit asymmetric in the sense that it increases steeply and decreases gradually. Note that the upper intervals of confidence band are wider than the lower ones, especially for the high values of the estimates. That is because the Poisson distribution is right skewed, and mean and variance are the same. The numbers corresponding to Figure 2 are given in Table 1.

Table 1

Estimated numbers of weekly infection and numbers for the fitted incidence by Poisson modelling.

Week	Estimated infection numbers	Fitted incidence numbers	Week	Estimated infection numbers	Fitted incidence numbers
1	0 (0,0)	1	27	105 (91,150)	62
2	0 (0,0)	1	28	109 (96,161)	69
3	0 (0,0)	1	29	110 (100,165)	74
4	0 (0,0)	1	30	105 (96,157)	77
5	0 (0,0)	1	31	97 (90,146)	78
6	0 (0,0)	1	32	90 (82,138)	77
7	0 (0,0)	1	33	79 (72,124)	75
8	0 (0,0)	1	34	65 (58,100)	71
9	0 (0,0)	2	35	52 (45,77)	66
10	0 (0,0)	3	36	42 (35,62)	59
11	0 (0,0)	3	37	33 (27,50)	53
12	0 (0,0)	4	38	27 (20,36)	46
13	0 (0,0)	6	39	25 (18,35)	39
14	0 (0,0)	7	40	5 (0,15)	34
15	0 (0,0)	9	41	2 (0,7)	27
16	0 (0,0)	11	42	0 (0,0)	20
17	0 (0,0)	13	43	0 (0,0)	15
18	0 (0,0)	15	44	0 (0,0)	12
19	3 (0,7)	18	45	0 (0,0)	9
20	10 (0,15)	20	46	0 (0,0)	6
21	28 (10,35)	23	47	0 (0,0)	5
22	42 (26,53)	28	48	0 (0,0)	3
23	55 (44,70)	34	49	0 (0,0)	3
24	69 (56,92)	41	50	0 (0,0)	2
25	85 (70,122)	48	51	0 (0,0)	1
26	98 (84,141)	55	52	0 (0,0)	1

95% confidence intervals are given in the parenthesis.

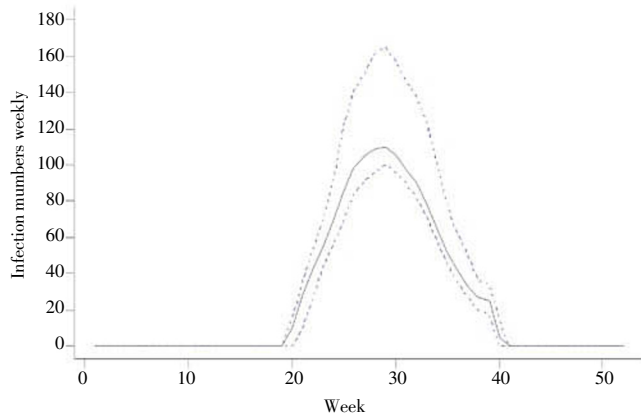


Figure 2. Solid line for estimated infection curve and dotted lines for 95% confidence intervals, obtained by using the maximum likelihood method under a Poisson distribution assumption and a bootstrap technique.

3.2. Fitted weekly incidences

In addition, Figure 3 illustrates malaria cases weekly for 13 years. The fitted incidence values (λ_w) are obtained by a back-calculation using Equation (2) where the estimated infection numbers (\hat{G}_w) are inserted. The numbers corresponding to Figure 3 are given in Table 1.

The *Chi-square* goodness of fit test statistic value between the averaged cases of 13 years and the fitted incidence values are 9.89 with 51 degrees of freedom. The *P*-value is about 0.99. Hence, we can say that the estimation of weekly infection based on the maximum likelihood and Poisson modeling is good enough.

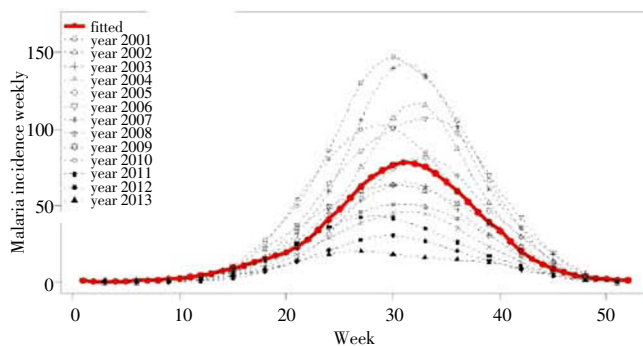


Figure 3. Distributions of smoothed incidence curve of malaria for 13 years and the fitted line which is obtained by a back-calculation using Equation (2) where the estimated infection numbers (\hat{G}_w) are inserted.

3.3. Prevalence of malaria

Figure 4 illustrates a result of the prevalence (a solid line), obtained from the convolution Equation (4). The dashdotted lines are 95% confidence intervals computed by bootstrap technique. The starting (winter) prevalence at the first week is 496 and the minimum number is 366 at the 21st and 22nd weeks. The decreasing pattern during this period is due to the cure of long-term incubated patients. Note that the 21nd week on the bottom line is just a 2 weeks delay from the

starting 19th week of the infection. The winter number is recovered at week 28, and the maximum number is 648 at the 34th week. This increasing pattern is due to the high infection rate during this period. The decreasing pattern after the peak is due to the low infection rate and the cure of the short-term incubation patients. Note again that the upper intervals of confidence band are wider than the lower ones. The numbers corresponding to this figure are given in Table 2.

Table 2

Estimated numbers of weekly prevalence.

Week	Prevalence of malaria	Week	Prevalence of malaria
1	496 (443,688)	27	474 (411,638)
2	495 (442,688)	28	510 (442,690)
3	495 (442,686)	29	546 (474,746)
4	494 (441,686)	30	579 (508,800)
5	494 (441,686)	31	606 (537,845)
6	493 (440,684)	32	626 (558,876)
7	492 (439,684)	33	640 (574,901)
8	491 (438,682)	34	648 (582,916)
9	489 (436,680)	35	647 (582,916)
10	486 (434,677)	36	639 (574,902)
11	483 (432,673)	37	629 (565,884)
12	478 (428,667)	38	616 (554,865)
13	473 (422,660)	39	604 (544,843)
14	465 (417,650)	40	595 (536,827)
15	456 (410,638)	41	574 (516,794)
16	445 (402,624)	42	553 (496,765)
17	432 (390,607)	43	538 (482,744)
18	417 (378,587)	44	526 (470,728)
19	399 (364,564)	45	518 (462,716)
20	379 (348,536)	46	511 (457,708)
21	366 (330,506)	47	507 (452,702)
22	366 (324,485)	48	503 (450,698)
23	374 (330,492)	49	501 (447,695)
24	388 (342,510)	50	499 (446,692)
25	409 (357,540)	51	498 (444,690)
26	439 (380,585)	52	497 (443,690)

95% confidence intervals are given in the parenthesis.

3.4. Prediction by a regression model

Figure 5 shows the time series plot of observed (circles) versus fitted weekly number (solid line) of incidences from the regression model (9), and forecasts for the years from 2014 to 2018. Our forecast based on the model (9) is that an increase at year 2014 compared to 2013 may reach a peak (at maximum about 70 weekly cases) at year 2015, with a decreasing trend after then.

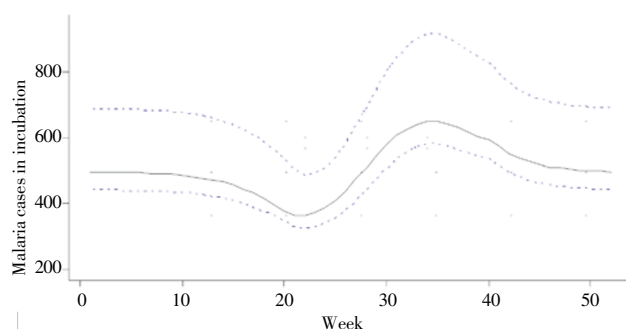


Figure 4. Solid line for weekly prevalence of malaria and dash-dotted lines for 95% confidence intervals.

The starting (winter) number for the first week is 496, and the minimum is 366 cases at the 21st and 22nd weeks. The maximum is 648 cases at the 34th week.

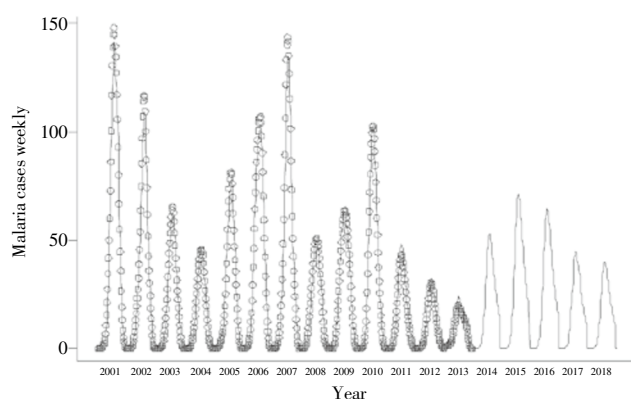


Figure 5. Time series plot of observed (circles) versus fitted weekly number (solid line) of incidences from the model (9), and forecasts for the years from 2014 to 2018.

4. Discussion

We analyzed the incidence data on a weekly basis even though the original source from the KCDC was on a daily basis. The weekly data was then smoothed to eliminate weekend and holiday effects. The first time in our study, we tried to calculate the daily infection rate using the daily incidence data, but it was very difficult because there were too many regression coefficients ($n=365$). The variation of the daily infection rate was too big to accept when we calculated the rate using the matrix inversion method. We also did not use 2 weeks of interval data because the loss of information was considerable.

The estimated infection curve was narrower and more concentrated in summer than the incidence curve was. Significant infection starts around the 19th week and is over around the 41st week. The malaria infection rate is thought to be related to the life cycle of the vector, *Anopheles sinensis*. Therefore, we require more study on mosquitoes' lives. Moreover, an efficient preventive program of malaria infection using the infection curve needs to concentrate on a date after the 18th

week. Prevalence in the first week is approximately 496 persons reflecting infected persons who have long incubation periods. Prevalence drops in late spring with people falling ill who have had a long incubation period and rises in the summer with new infections.

Brookmeyer[6], and Hall *et al*[7] estimated the HIV infection rate of each year by the back-calculation method from AIDS incidence. The back-calculation of AIDS is simpler than that of malaria because AIDS data is counted on a yearly interval and thus has only a few (7 for example in Brookmeyer[6]) coefficients. However, the analysis of malaria is more difficult because a phase of malaria infection is repeated yearly with some variations. It has meaning when the interested statistics are obtained as daily or weekly on a monthly interval (so it has more coefficients). Our study estimated 52 coefficients in the back-calculation formula using a maximum likelihood estimation method under a Poisson distribution assumption. One may try it under a negative binomial distribution assumption.

The confidence intervals were computed conditionally on the assumed incubation period distribution (and so the survival probabilities), by treating the distribution fixed. One can take account into the uncertainty of the assumed distribution by generating random numbers from it in the bootstrap procedure. This may give wider confidence intervals than the present one.

Spatial mapping or modelling of malaria incidences in Korea might be useful in establishing an efficient preventive program for malaria infection, which is our future study. Lee *et al*[23] developed a statistical methodology for estimating the transmittable prevalence associated with short-term and long-term incubation periods. They obtained the probabilities of reactivation and of parasitemia by repeatedly using the back-calculation formula.

We found that the estimated infection curve was narrower and more concentrated in the summer than in the incidence distribution. Numbers of infections start around the 19th week and end around the 41st week. The estimated infection curve can be useful in establishing an efficient preventive program for malaria infection. Prevalence is around 496 persons reflecting the infected persons who have had long incubation periods. Prevalence drops in late spring with people who fall ill and have had long incubation periods and rises in the summer with new infections. The confidence intervals of the estimates are obtained by a bootstrap method. This work shows that back-calculation methods could work well in estimating the infection rates and the prevalence of malaria.

A regression model for time series of malaria incidences over 13 years is fitted, and is used to predict future trend. Our forecast based on the regression model (9) is that an increase at year 2014 compared to 2013 may reach a peak (at maximum about 70 weekly cases) at year 2015, with a decreasing trend after then.

We used the result of Nishiura *et al*[18] for the incubation period of *P. vivax* for what is essential for the back calculation of infection rates. We think the malaria data of other countries can be analyzed in the same way as presented here if they have information about

incubation periods for their own malaria and incidence surveillance data. Moreover, we think this method can be used for other infectious diseases too.

Conflict of interest statement

We declare that we have no conflict of interest.

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